


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PTO/SB/81 (05-03)

Approved for use through 11/30/2005. OMB 0651-0035
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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| | | |
|--|-------------------------------|-----------------------------|
| POWER OF ATTORNEY OR AUTHORIZATION OF AGENT | Application Number | Not yet assigned |
| | Filing Dat | June 27, 2003 |
| | First Named Inv ntor | Gregory M. Dobbs |
| | Title | A Plate-Type Heat Exchanger |
| | Group Art Unit | Not yet assigned |
| | Examiner Name | Not yet assigned |
| | Attorney Docket Number | 210-609 |

I hereby appoint:

☒ Practitioners at Customer Number
OR

20874



20874

PATENT TRADEMARK OFFICE

☐ Practitioner(s) named below:

| Name | Registration Number |
|------|---------------------|
| | |
| | |
| | |
| | |

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number☐ Firm or
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

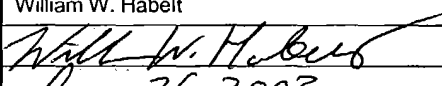
Fax

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

| | |
|------------------|---|
| Name | William W. Habelt |
| Signature |  |
| Date | June 26, 2003 |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Express Mailing Label No. EV317008267US

Attorney Docket No. 210-609

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Carrier CorporationApplication No./Patent No.: Not yet assigned Filed/Issue Date: June 27, 2003Entitled: A Plate-Type Heat ExchangerCarrier Corporation, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 010669, Frame 0529, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

June 26, 2003
Date

William W. Habelt
Typed or printed name
William W. Habelt
Signature
Intellectual Property Counsel and
Assistant Secretary
Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

May 18, 2001

Gregory M. Dobbs, et al.

Docket No.: 965_009

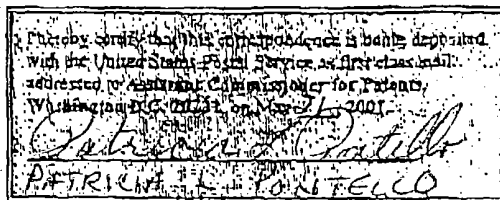
Ser. No.: 09/470,165

Art Unit: 3743

Filed: December 22, 1999

Examiner: Allen J. Flanigan

For: A PLATE-TYPE HEAT EXCHANGER

Assistant Commissioner for Patents
Washington, DC 20231

ASSOCIATE POWER OF ATTORNEY

Sir:

Please recognize each of:

| <u>Attorney</u> | <u>Reg. No.</u> | <u>Telephone No.</u> |
|-------------------|-----------------|----------------------|
| Thomas J. Wall | 24,280 | (315)425-9000 |
| Owen D. Marjama | 22,818 | (315)425-9000 |
| Peter J. Bilinski | 35,067 | (315)425-9000 |

as Associate Attorneys to prosecute said application and any Continuation or Divisional application thereof, and to transact all business in the Patent and Trademark Office connected therewith.

Please address all correspondence and telephone calls to:

WALL MARJAMA & BILINSKI
101 South Salina Street, Suite 400
Syracuse, NY 13202
Phone: 315/425-9000

Fax: 315/425-9114

Respectfully submitted,

William W. Habelt
Attorney of Record
Reg. No. 29,162

COMBINED DECLARATION AND POWER OF ATTORNEY IN
ORIGINAL APPLICATION

ATTORNEY DOCKET NO. :
R-4253 (CAR-9668)

I declare: that my residence and citizenship are as stated below next to my name; that I believe I am the original, first, and sole inventor (if only I am named below) or joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought in the specification of U.S. patent application Serial No. 09/470,165 filed on December 22, 1999 and entitled:

A Plate-Type Heat Exchanger

and the Preliminary Amendment to such patent application attached hereto, that I have reviewed and understand the contents of the above-identified specification, including the claims; that I acknowledge the duty to disclose the Patent and Trademark Office all information known to me to be material to patentability as defined in 37 C.F.R. §1.56; that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

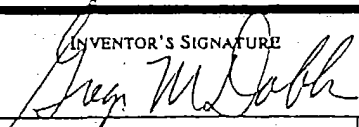
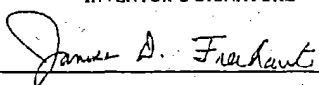
I appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

STEPHEN E. REVIS (Registration No. 26,609)
WILLIAM W. HABELT (Registration No. 29,162)
BRIAN D. LEFORT (Registration No. 43,747)

Direct All Correspondence to:

BRIAN D. LEFORT
United Technologies Research Center
Legal Department
411 Silver Lane - MS 129-6
East Hartford, CT 06108

Telephone: 860-610-7339
Fax: 860-610-7248

| | | |
|---|--|---------------|
| FULL NAME OF SOLE OR FIRST INVENTOR | INVENTOR'S SIGNATURE | DATE |
| Gregory M. Dobbs |  | Jan 20, 2000 |
| RESIDENCE AND POST OFFICE ADDRESS | | CITIZENSHIP |
| 73 Riverview Road, Glastonbury, Connecticut 06033 | | U.S.A. |
| FULL NAME OF SECOND JOINT INVENTOR (IF ANY) | INVENTOR'S SIGNATURE | DATE |
| James D. Freihaut |  | Jan. 20, 2000 |
| RESIDENCE AND POST OFFICE ADDRESS | | CITIZENSHIP |
| 8 Woodcock Lane, South Windsor, Connecticut 06074 | | U.S.A. |



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
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R4253



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JUNE 02, 2000

PTAS

UNITED TECHNOLOGIES RESEARCH CENTER
BRIAN D. LEFORT
411 SILVER LANE - MS 129-6
EAST HARTFORD, CT 06108

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/07/2000

REEL/FRAME: 010669/0529
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

DOBBS, GREGORY M.

DOC DATE: 01/20/2000

ASSIGNOR:

FREIHAUT, JAMES D.

DOC DATE: 01/20/2000

ASSIGNEE:

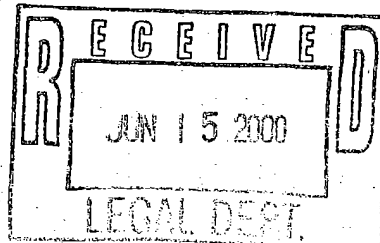
CARRIER CORPORATION
CARRIER WORLD HEADQUARTERS
BUILDING, ONE CARRIER PLACE
FARMINGTON, CONNECTICUT 06034-4015

SERIAL NUMBER: 09470165

PATENT NUMBER:

FILING DATE: 12/22/1999

ISSUE DATE:



JOANN STEWART, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

04-11-2000

et No.: R-4253 (CAR-9668)



R SHEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

101314640

LY

Tab settings → → → ▼

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies)

Gregory M. Dobbs
73 Riverview Road
Glastonbury, Connecticut 06033
U.S.A.

2. Name and address of receiving party(ies):

Name: **Carrier Corporation**

Address: **Carrier World Headquarters Building**

One Carrier Place

Additional names(s) of conveying party(ies) attached? ☒ Yes ☐ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

City: **Farmington** State/Prov.: **CT**

Country: **U.S.A.** ZIP: **06034-4015**

Execution Date: **January 20, 2000**

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is:

Patent Application No. **09/470,165** Filing date **December 22, 1999**

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Brian D. Lefort**

Registration No. **43,747**

Address: **United Technologies Research Center**

411 Silver Lane - MS 129-6

City: **East Hartford** State/Prov.: **CT**

Country: **U.S.A.** ZIP: **06108**

6. Total number of applications and patents involved: **1**

7. Total fee (37 CFR 3.41):.....\$ **40.00**

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☒ Authorized to be charged to deposit account

8. Deposit account number:

03-0835 Order No. R-4253 (CAR-9668)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Brian D. Lefort

Name of Person Signing

Signature

Date

4

Total number of pages including cover sheet, attachments, and document:

Docket Number: R-4253 (CAR-9668)

**U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE**

**RECORDATION FORM COVER SHEET
PATENTS ONLY**

1. Name of Conveying party(ies) continued:

**James D. Freihaut
8 Woodcock Lane
South Windsor, CT 06074
U.S.A.**

Assignment Execution Date: January 20, 2000

PATENTS ONLY

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Gregory M. Dobbs
73 Riverview Road
Glastonbury, Connecticut 06033
U.S.A.

2. Name and address of receiving party(ies):

Name: Carrier Corporation

Address: Carrier World Headquarters Building

One Carrier Place

Additional names(s) of conveying party(ies) attached? ☒ Yes ☐ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

City: Farmington

State/Prov.: CT

Country: U.S.A.

ZIP: 06034-4015

Execution Date: January 20, 2000

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is:

Patent Application No.

Filing date

B. Patent No.(s)

09/470,165

December 22, 1999

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Brian D. Lefort

Registration No. 43,747

Address: United Technologies Research Center

411 Silver Lane - MS 129-6

City: East Hartford

State/Prov.: CT

Country: U.S.A.

ZIP: 06108

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☒ Authorized to be charged to deposit account

8. Deposit account number:

03-0835 Order No. R-4253 (CAR-9668)

1/11/2000 TTON11 00000078 030835 09470165

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Brian D. Lefort

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document:

4

ASSIGNMENT

WHEREAS, We, Gregory M. Dobbs of Glastonbury, Connecticut and James D. Freihaut of South Windsor, Connecticut, have invented certain improvements in "A Plate-Type Heat Exchanger" identified as Attorney Docket No. R-4253 (CAR-9668), and described in U.S. patent application Serial No. 09/470,165 filed on December 22, 1999 and executed by the undersigned on the date(s) set after the signature(s) hereto, being owner(s) of all right, title and interest in and to said application and in and to any invention described therein, free from all prior assignments, agreements, licenses, mortgages, or other encumbrances whatsoever, and having full right to convey the entire interest both legal and equitable herein assigned; and

WHEREAS, CARRIER CORPORATION, (hereinafter referred to as Assignee), of Carrier World Headquarters Building, One Carrier Place, Farmington, Connecticut 06034-4015, a corporation of the State of Delaware, is desirous of acquiring the entire right, title and interest in and to said invention or inventions and any and all patents to be obtained therefor;

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged by the undersigned, the undersigned does (do) hereby sell, assign, transfer and set over unto said assignee, its successors and assigns, the entire right, title and interest in and to said invention or inventions, as described in the aforesaid application, in any form or embodiment thereof, and in and to the aforesaid application; and in and to any application filed in any foreign country based thereon, including the right to file said foreign applications under the provisions of the International Convention; also the entire right, title and interest in and to any and all patents or reissues or extensions thereof to be obtained in this or any foreign country upon said invention or inventions and any divisional, continuation, continuation-in-part or substitute applications which may be filed upon said invention or inventions in this or any foreign country; and the undersigned hereby authorize(s) and request(s) the issuing authority to issue any and all patents on said application or applications to said assignee or its successors and assigns.

The undersigned further agree(s), without any further payment or compensation by said assignee or its successors and assigns, to communicate to said assignee, its representatives or agents or its successors and assigns, any facts relating to said invention or inventions including evidence for interference purposes or for other legal proceedings whenever requested; testify in any interference or other legal proceedings, whenever requested; execute and deliver, on request, all lawful papers required to make any of the foregoing provisions effective; and generally do everything possible to aid said assignee, its successors or assigns and nominees to obtain and enforce proper patent protection for said invention or inventions in this or any foreign country.

IN TESTIMONY WHEREOF, the undersigned has(have) hereunto set his(their) hand(s) and seal(s) on the date after his(their) signature(s).

(L.S.)

GREGORY M. DOBBS

January 20, 2000

(L.S.)

JAMES D. FREIHAUT

January 20, 2000

State of Connecticut)
ss: East Hartford
County of Hartford)

On this 20th day of January, 2000 before me personally
appeared GREGORY M. DOBBS to me personally known, and known to me to be the
person(s) who signed the foregoing assignment, and acknowledged the signing of same as
his(their) free act and deed.

Ana R. Rivera
Ana R. Rivera
Notary Public
Commissioner of the Superior Court

SEAL

My Commission Expires: Nov. 30, 2003

State of Connecticut)
ss: East Hartford
County of Hartford)

On this 20th day of January, 2000 before me personally
appeared JAMES D. FREIHAUT to me personally known, and known to me to be the
person(s) who signed the foregoing assignment, and acknowledged the signing of same as
his(their) free act and deed.

Ana R. Rivera
Ana R. Rivera
Notary Public
Commissioner of the Superior Court

SEAL

My Commission Expires: Nov 30, 2003